



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/028,303	12/28/2001	Ralph H. Johnson	V637-02461 US

CONFIRMATION NO. 2895

## FORMALITIES LETTER



\*OC00000007516459\*

Andrew A. Abeyta  
HONEYWELL INTERNATIONAL INC.  
101 Columbia Road  
POB 2245  
Morristown, NJ 07962

Date Mailed: 02/22/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

*Lin C*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/21/2002 SDENB0B1 00000098 011125 10028303

01 FC:105 130.00 CH



PATENT

IN THE UNITED STATES PATENT AND  
TRADEMARK OFFICE

Phoenix, Arizona  
March 14, 2002

<b>Applicant:</b>	Ralph H. Johnson	<b>Group -</b>	2881
<b>Serial No.:</b>	10/028,313	<b>Examiner -</b>	t.b.d.
<b>Filed:</b>	12/28/2001	<b>Atty Docket No. -</b>	M40 02461 US
<b>For:</b>	CURRENT CONFINEMENT, CAPACITANCE REDUCTION AND ISOLATION OF VCSELS USING DEEP ELEMENTAL TRAPS		

Box Missing Parts  
Assistant Commissioner of Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR NOTICE TO FILE MISSING PARTS OF APPLICATION

Dear Sir:


In response to the NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION, dated 02/22/2002, filed herewith are a copy of the subject NOTICE and the executed Declaration for Utility or Design Patent Application.

Please charge Deposit Account No. 01-1125 the amount of \$130.00 for the delayed filing of this document.

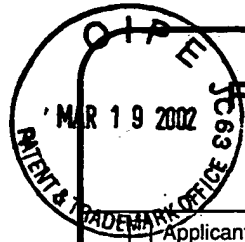
REMARKS

The Commissioner is hereby authorized to charge Deposit Account No. 01-1125 any fees or credit any overpayment under 37 CFR 1.16 and 1.17 that may be required to maintain pendency of this application. A duplicate copy of this letter is enclosed.

Respectfully submitted,

  
\_\_\_\_\_  
Andrew A. Aveyta  
Reg. No. 39,582  
602-313-3345

3/14/02  
\_\_\_\_\_  
Date



# **FREE TRANSMITTAL For FY 2002**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 /CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** \$130.00

## **COMPLETE IF KNOWN**

Application No. 10/028,303  
Filing Date 12/28/2001  
First Named Inventor Ralph H. Johnson  
Examiner Name t.b.d.  
Group Art Unit t.b.d.  
Attorney Docket No. M40 02491 US

### **METHOD OF PAYMENT (check all that apply)**

☐ Check ☐ Credit card ☐ Money Order ☐ Other

☒ Deposit Account

Deposit Account Number 01-1125

Deposit Account Name Honeywell International Inc.

The Commissioner is hereby authorized to: (check all that apply)

☒ Charge fee(s) ☒ Credit any overpayment indicated below

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

### **FEE CALCULATION**

#### **1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
101	740	201	370	Utility Filing Fee	
106	330	206	165	Design Filing Fee	
107	510	207	255	Plant Filing Fee	
108	740	208	370	Reissue Filing Fee	
114	160	214	80	Provisional Filing Fee	
SUBTOTAL (1)					\$ - 0 -

#### **2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
-20*	-0-	18.00	-0-
-3	-0-	84.00	-0-
Multiple Dependent Claims	-0-	280.00	-0-

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					\$ - 0 -

\*number previously paid, if greater; see above for Reissues

### **FEE CALCULATION (continued)**

#### **3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,250	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
195	300	195	300	Publication fee	
Other fee (specify)					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					\$130.00

### **SUBMITTED BY**

Name (Print / Type)	Andrew A. Abeyta	Registration No. (Attorney/Agent)	39,582	Complete (if applicable)	Telephone 602-313-3345
Signature				Date	3/14/02

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C., 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC, 20231.



Docket No. M40 02461 US  
Serial No. 10/028,303  
Filed 12/28/2001

## Certificate of Mailing under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Box Missing Parts  
U.S. Patent Office  
POB 2327  
Arlington, VA 22202

on

3/14/02

(Date)

Signature

Tessa Ricar

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Fee Transmittal for FY 2002, two copies;
2. Notice to File Missing Parts of Nonprovisional Application;
3. Transmittal Letter for Notice to File Missing Parts of Application;
4. Declaration for Patent Application, Sole or Joint, three pages, executed;
5. Certificate of Mailing;
6. Return post card.